



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

: **Confirmation No. 5299**

Yuusaku OHTA et al.

: Docket No. 2003\_1215A

Serial No. 10/649,623

: Group Art Unit 3762

Filed August 28, 2003

:

KEY DELIVERY APPARATUS, TERMINAL  
APPARATUS, RECORDING MEDIUM, AND  
KEY DELIVERY SYSTEM

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449. A legible copy of each reference listed on the form PTO-1449 is enclosed.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**
- (2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**  
**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:

- a. ☐ a full or partial English language translation submitted herewith,

- b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ An International Search Report citing one or more of the references is enclosed.

Respectfully submitted,

Yuusaku OHTA et al.

By



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May 13, 2004

Sheet 1 of 1

FORM PTO 1449 (modified)				ATTY DOCKET NO. 2003_1215A		SERIAL NO. 10/649,623	
U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary)  Date Submitted to PTO: May 13, 2004				APPLICANT Yuusaku OHTA et al.			
				FILING DATE August 28, 2003		GROUP 3762	
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
/F.Y./	AB	1 081 616	3/2001	EP			
/F.Y./	AC	1 018 733	7/2000	EP			
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)							
/F.Y./	AD	"IBM RESPONSE TO DVB-CPT CALL FOR PROPOSALS FOR CONTENT PROTECTION & COPY MANAGEMENT: XCP CLUSTER PROTOCOL" IBM RESPONSE TO DVB-CPT CALL FOR PROPOSALS FOR CONTENT PROTECTION & COPY MANAGEMENT: XCP CLUSTER PROTOCOL, October 19, 2001, XP001148193, pages 6-9.					
/F.Y./	AE	"CONTENT PROTECTION FOR RECORDABLE MEDIA SPECIFICATION: SD MEMORY CARD BOOK, REVISION 0.95", CONTENT PROTECTION FOR RECORDABLE MEDIA SPECIFICATION: SD MEMORY CARD BOOK, REVISION 0.95, May 28, 2001, XP002226117, pages 5-11 and pages 26-27.					
/F.Y./	AF	"CALL FOR PROPOSALS FOR CONTENT PROTECTION & COPY MANAGEMENT TECHNOLOGIES ", CALL FOR PROPOSALS FOR CONTENT PROTECTION & COPY MANAGEMENT TECHNOLOGIES, July 5, 2001, XP002230687, pages 4-6.					
/F.Y./	AG	"5C DIGITAL TRANSMISSION CONTENT PROTECTION WHITE PAPER ", 5C DIGITAL TRANSMISSION CONTENT PROTECTION WHITE PAPER, July 14, 1998, XP002213172.					
/F.Y./	AH	"SDMI SECURE DIGITAL MUSIC INITIATIVE.", SDMI PORTABLE DEVICE SPECIFICATION VERSION 1.0, XX, XX, no. Part 1, July 8, 1999, pages 1-35, XP 000997330.					
EXAMINER /Fikremariam Yalew/				DATE CONSIDERED 11/22/2008			

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.